

INTERNAL REGULATIONS

OF THE GENERAL ARCHIVES

AT THE UNIVERSITAT INTERNACIONAL

DE CATALUNYA

**[Approved by the Executive Committee of the Board of
Governors in the session held on 14 September 2009]**

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TITLE I. NATURE, DEFINITION, AREA AND RESPONSIBILITIES

CHAPTER I. NATURE

1. For the purposes of these regulations, a document is understood to be any form of textual expression, in oral or written, natural or coded language, as well as any graphic representation or sound recording, stored on a physical medium of any kind, which constitutes a record of activities and tasks carried out at the university.
2. The documentary heritage of the Universitat Internacional de Catalunya is comprised of documents of any age, format or medium that have been generated, received, conserved or collected in the realisation of tasks and activities by any existing or future member or university body (research, teaching and administration unit, academic authority, governing or advisory body).
3. The documentary heritage of the Universitat Internacional de Catalunya also includes documentary collections from natural persons acquired through donation, transfer, inheritance, bequest, loan or any other system provided for in the legal system.
4. Documents produced by other legal entities may also form part of the documentary heritage of the Universitat Internacional de Catalunya, provided that a suitable agreement is drawn up.
5. The documentary heritage of the Universitat Internacional de Catalunya excludes documents produced by teaching and research staff that are considered personal works according to intellectual property legislation, as well as all works that form part of the bibliographic heritage.

CHAPTER II. DEFINITION

6. The General Archives of the Universitat Internacional de Catalunya is the organic collection of documents of any age, format, or physical medium, produced or gathered as a result of the duties and activities carried out by members and bodies of the university, organised and conserved for administrative management, proof of rights and as a historical record.
7. The General Archives of the Universitat Internacional de Catalunya is the service responsible for organising, managing, processing and issuing documents that make up the documentary heritage of the Universitat Internacional de Catalunya.

CHAPTER III. SCOPE

8. The General Archives of the Universitat Internacional de Catalunya, as an administrative service, is affiliated with the General Secretariat.

CHAPTER IV. RESPONSIBILITIES

9. The General Archives is responsible for outlining, introducing and evaluating a management system for administrative and archival documentation, as well as conserving, preserving, organising, describing and allowing access to the university's documentary, administrative or historical collections.
10. The General Archives' responsibilities include:
 - To manage administrative documentation, in any medium or format, throughout its lifetime, from its creation to conservation or elimination.
 - To select, evaluate and propose the elimination of documents that are no longer needed for carrying out the university's administrative activities, guaranteeing legal rights or for historical records.
 - To organise, conserve, hold and disseminate the university's documentary heritage.

TITLE II. GOVERNING BODIES

CHAPTER I. GENERAL SECRETARIAT

11. The General Secretariat is the body responsible for supervising and protecting the General Archives.

CHAPTER II. THE HEAD OF THE GENERAL ARCHIVES

12. The head of the General Archives will be named by the Board of Governors, following a proposal by the General Secretariat.
13. The head of the General Archives will also preside over the archives stored therein.
14. The head of the General Archives' responsibilities include:
 - Designing, regulating and planning the university's document and archive management system.
 - Organising, coordinating and overseeing the university's archive system.
 - Overseeing and coordinating the archival and specialist processing of the collections.

- Proposing safety measures to protect, treat and conserve documentation.
- Outlining the Archives' internal guidelines and services.
- Promoting activities that contribute to training and refresher courses for Archives staff, as well as the university's administrative staff who work with archives.
- Providing information on possible transfers or donations of specific documents.
- Proposing the creation of specific advisory committees to the General Secretariat.
- Offering advice on new building or remodelling projects for premises intended for the Archives, as well as its installations.
- Taking on all tasks related to archive management that fall within their area of expertise.

TITLE III. STRUCTURE, ORGANISATION AND OPERATION

CHAPTER I. STRUCTURE

Section 1a. The archive system

15. The General Archives is designed as an archive system. The university's documentary heritage is organised into this structure throughout the various stages of its lifetime, with separate regulations for each phase for the purpose of organisation, conservation, treatment and dissemination.
16. The archive system is made up of all Management Archives (office and central), the Intermediate Archives and the Historical Archives, as well as the related technical and administrative services. Together they form a single General Archives which constitutes the university's principal archive system.
17. The General Archive is deemed to be a unique and functional university service that integrates the entire cycle of documentary evolution, from document creation or reception at the units and services, to their conservation or definitive elimination, always in line with the established technical and legal criteria.
18. The head of the General Archives is responsible for coordinating the archive system, by means of the following tasks:
 - Provide guidelines for the organisation of the Management Archives (office and central) and oversee their application.
 - Design the whole archive system and plan archival activity.
 - Encourage staff training on organising and treating documents.
 - Outline regulations to oversee operations and coordinate their application.
 - Make proposals to the governing bodies regarding the appointment of advisory committees and working groups on matters related to the activities of the General Archives.
 - Safeguard and manage the documentation deposited in the facilities.

Section 2a. The Management Archives (office and central).

19. All documents generated by governing bodies, services, faculties and other university centres or units, are called Management Archives (office and central).
20. Management archives form part of the initial stage of the archive system, or activate the documents' life cycle.
21. The Management Archives gather and store documentation generated by that same unit, from the moment it is generated or received until it is no longer needed.
22. The documentation is kept in the Management Archives for the period of time determined in the collections assessment tables, when these are created; otherwise, it will be transferred to the Intermediate Archives when it is no longer frequently used.
23. The conservation and safekeeping of documents in the Management Archives, as well as their organised and systematic transfer from the Intermediate Archives repositories, will be the responsibility of the heads of each centre or unit, who must designate someone who will ensure compliance with the regulations established by the General Archives directorate.
24. The Management Archives (office and central) shall apply the technical guidelines and instructions issued by the General Archive directorate, which may at any time require compliance.

Section 3a. The Intermediate Archives

25. The Intermediate Archives are those to which documents from the various Management Archives (Office and Central) are transferred.
26. Within the life cycle of the documents, it is the archive that holds those that have completed their processing and which are not frequently consulted.
During this phase, the documents are treated in an archival manner so that they provide support to the university's administrative management in the most efficient way possible. At this stage, the documentary series will also be assessed and deadlines will be set for the transfer and access, conservation and total or partial elimination of those documents which, having completely lost their value and administrative purpose, have no historical value that justifies their permanent conservation. The head of the Archives will make these decisions, having previously consulted the Rector's Office, where a committee could be appointed, if necessary, made up of a member of staff from the Archive, another from the issuing office and a historian.
27. The Intermediate Archive holds documentation until it is eliminated or transferred to the Historical Archives.

Section 4a. The Historical Archives

28. Documentation considered worthy of conservation due to its historical value is transferred from the Intermediate Archives to the Historical Archives.
29. They also hold external collections that have been donated, inherited, loaned or acquired by any other legal means.
30. In accordance with current legislation, the General Archives will facilitate consultation in accordance with the provisions of Title III, Chapter II, Section 4 of these regulations, provided that this does not prejudice the rights of individuals or the wishes of their donors.

CHAPTER II. ORGANISATION AND OPERATION

Section 1a. Depositing and releasing documents

31. A deposit is understood as the entry of documents into an archive system for its organisation, custody, supervision, conservation and service.
32. Documents can be deposited in the Archives by transfer, donation, loan or by any other legal means.

Subsection 1a. Transfers

33. A regular transfer is understood to be the periodic transfer of documentation in an organised and systematic manner between the Management Archives (office and central) and the Intermediate Archives, and between the latter and the Historical Archives.
34. Transfers will be made using delivery reports.
35. A transfer calendar shall be drawn up between the issuing units and the General Archives directorate in accordance with the periods of permanence and conservation indicated in the collections assessment tables.
36. An extraordinary transfer is understood to be the exceptional transfer of documents from one of the Archives to another in the system, due to circumstances that prevent their organisation, custody, conservation, supervision or service. Extraordinary transfers shall be documented by means of a delivery report.
37. The Archives in question can reject transfers that do not comply with the previously established transfer regulations.

Subsection 2a. Loans

38. Requests and reception of administrative loans will be made by the person responsible for the issuing/recipient unit, or the person responsible for these operations, for the usual purposes of processing, searching for records and administrative information for decision-making.
39. Requests for documents by a body or unit that is not the document's issuer/recipient, must seek authorisation by the body or unit that has produced the document.
40. The unit that received the loaned documents is obliged to return them to the Archives as soon as they have finished using them for the previously stated purpose: the maximum established loan period is one month, which can be extended due to exceptional circumstances that may arise.
41. Whilst the document is on loan, the unit that requested the document is responsible for it, and must return it in the same conditions, order and state of conservation in which they received it.
42. The temporary release of documents for the purpose of restoration, reproduction or dissemination may be authorised with the approval, where appropriate, of the Board of Governors.

Section 2a. Processing documents

43. The institutional collection will be organised according to the classification table drawn up by the Archives' specialist staff. This table will be applied as a general principle to all stages of a document's life cycle.
44. The General Archives are responsible for carrying out identification studies on collections of documents.
45. The General Archives are also responsible for creating tools for describing the document collections according to the international archival description standards.

Section 3a. Elimination

46. The elimination and disposal of documentation that has lost its value and administrative purpose, and that has not been considered for permanent conservation, will be carried out in accordance with the terms outlined in the collections assessment tables.
47. A record shall be kept of all elimination, stating which documents are eliminated and the reasons for their destruction.

48. Samples may be kept of any original documents that have been eliminated. Sampling techniques for each collection will be outlined in the collection assessment tables and will be recorded in the form of the aforementioned elimination record.

Section 4a. Access to and reproduction of documents

Subsection 1a. Access

49. Access is understood as the availability of documents for consultation purposes.
50. It is the General Secretariat's responsibility to establish the guidelines for accessing each documentary series.
51. Access to external collections deposited in the Historical Archives is the responsibility of the special committees created in each case, and is always subject to the rights of individuals and at the discretion of donating party.
52. Consultations of the collections must be carried out exclusively on the General Archives' premises, in the space reserved for such purpose.
53. Entrance to the document repositories is reserved solely for General Archives staff.

Subsection 2a. Reproduction

54. The General Archives must provide the issuing units with copies of the documents, for the usual purposes of processing, searching for records and information for decision-making.
55. Users seeking to reproduce a document must follow the procedure established for this purpose and the conditions, limitations and restrictions of accessibility established in each case.

Section 5a. Conservation and facilities

56. The General Archives' facilities must meet the safety, space and equipment conditions that guarantee that it can fulfil the functions entrusted to it and avoid physical alterations or deterioration to documentation.

57. Special consideration will be given to all documents that are classed as essential, due to the fact that they are indispensable to the university for its operations or the continuity of its activities.

Section 6a. Archives staff

58. The General Archives must be suitably staffed with specialist personnel and anyone else needed to carry out its responsibilities correctly.
59. The Management Archives (office and central) will be managed by staff from the issuing unit, in accordance with the technical guidelines laid down by the General Archives directorate.
60. General Archives staff must exercise appropriate discretion regarding the information to which they have access.